

# UTILITY PATENT APPLICATION TRANSMITTAL (Large Entity)

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Docket No.  
328-028Total Pages in this Submission  
4**TO THE COMMISSIONER FOR PATENTS**Mail Stop Patent Application  
P.O. Box 1450  
Alexandria, VA 22313-1450

Transmitted herewith for filing under 35 U.S.C. 111(a) and 37 C.F.R. 1.53(b) is a new utility patent application for an invention entitled:

**RESIST POLYMER AND METHOD FOR PRODUCING THE RESIST POLYMER**

and invented by:

Takanori Yamagishi  
Tomo Oikawa  
Ichiro Kato  
Kazuhiko Mizuno  
Satoshi YamaguchiIf a **CONTINUATION APPLICATION**, check appropriate box and supply the requisite information:☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_

Which is a:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_

Which is a:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_

Enclosed are:

**Application Elements**

1. ☒ Filing fee as calculated and transmitted as described below
2. ☒ Specification having 40 pages and including the following:
  - a. ☒ Descriptive Title of the Invention
  - b. ☐ Cross References to Related Applications (if applicable)
  - c. ☐ Statement Regarding Federally-sponsored Research/Development (if applicable)
  - d. ☐ Reference to Sequence Listing, a Table, or a Computer Program Listing Appendix
  - e. ☒ Background of the Invention
  - f. ☒ Brief Summary of the Invention
  - g. ☐ Brief Description of the Drawings (if filed)
  - h. ☒ Detailed Description
  - i. ☒ Claim(s) as Classified Below
  - j. ☒ Abstract of the Disclosure

**UTILITY PATENT APPLICATION TRANSMITTAL**  
**(Large Entity)**

*(Only for new nonprovisional applications under 37 CFR 1.53(b))*

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4

**Application Elements (Continued)**

3. ☐ Drawing(s) *(when necessary as prescribed by 35 USC 113)*
- a. ☐ Formal                      Number of Sheets \_\_\_\_\_
- b. ☐ Informal                      Number of Sheets \_\_\_\_\_
4. ☒ Oath or Declaration
- a. ☒ Newly executed *(original or copy)*                      ☐ Unexecuted
- b. ☐ Copy from a prior application (37 CFR 1.63(d)) *(for continuation/divisional application only)*
- c. ☒ With Power of Attorney                      ☐ Without Power of Attorney
- d. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named in the prior application,  
see 37 C.F.R. 1.63(d)(2) and 1.33(b).
5. ☐ Incorporation By Reference *(usable if Box 4b is checked)*  
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under  
Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby  
incorporated by reference therein.
6. ☐ CD ROM or CD-R in duplicate, large table or Computer Program (Appendix)
7. ☐ Application Data Sheet (See 37 CFR 1.76)
8. ☐ Nucleotide and/or Amino Acid Sequence Submission *(if applicable, all must be included)*
- a. ☐ Computer Readable Form (CRF)
- b. ☐ Specification Sequence Listing on:
- i. ☐ CD-ROM or CD-R (2 copies); or
- ii. ☐ Paper
- c. ☐ Statement(s) Verifying Identical Paper and Computer Readable Copy

**Accompanying Application Parts**

9. ☒ Assignment Papers *(cover sheet & document(s))*
10. ☐ 37 CFR 3.73(B) Statement *(when there is an assignee)*
11. ☐ English Translation Document *(if applicable)*
12. ☐ Information Disclosure Statement/PTO-1449                      ☐ Copies of IDS Citations
13. ☒ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503) *(Should be specifically itemized)*
15. ☒ Certified Copy of Priority Document(s) *(if foreign priority is claimed)*
16. ☒ Certificate of Mailing
- ☐ First Class    ☒ Express Mail *(Specify Label No.):* ER571802729US

*(Only for new nonprovisional applications under 37 CFR 1.53(b))*

**328-028**

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17. ☐ Additional Enclosures (please identify below):

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18. ☐ Pursuant to 35 U.S.C. 122(b)(2), Applicant hereby requests that this patent application not be published pursuant to 35 U.S.C. 122(b)(1). Applicant hereby certifies that the invention disclosed in this application has not and will not be the subject of an application filed in another country, or under a multilateral international agreement, that requires publication of applications 18 months after filing of the application.

***An applicant who makes a request not to publish, but who subsequently files in a foreign country or under a multilateral international agreement specified in 35 U.S.C. 122(b)(2)(B)(i), must notify the Director of such filing not later than 45 days after the date of the filing of such foreign or international application. A failure of the applicant to provide such notice within the prescribed period shall result in the application being regarded as abandoned, unless it is shown to the satisfaction of the Director that the delay in submitting the notice was unintentional.***

**UTILITY PATENT APPLICATION TRANSMITTAL**  
**(Large Entity)**

*(Only for new nonprovisional applications under 37 CFR 1.53(b))*

Docket No.  
328-028

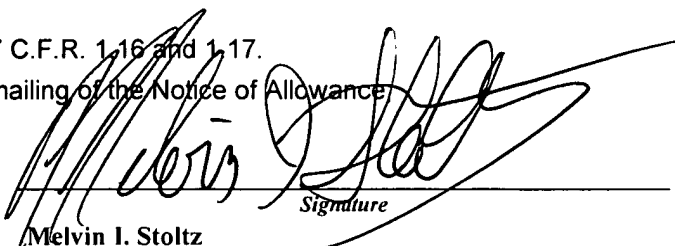
Total Pages in this Submission  
4

**Fee Calculation and Transmittal**

**CLAIMS AS FILED**

For	#Filed	#Allowed	#Extra	Rate	Fee
Total Claims	9	- 20 =	0	x \$18.00	\$0.00
Indep. Claims	2	- 3 =	0	x \$86.00	\$0.00
Multiple Dependent Claims (check if applicable) <input type="checkbox"/>					\$0.00
BASIC FEE					\$770.00
OTHER FEE (specify purpose) <u>Assignment for Recording</u>					\$40.00
TOTAL FILING FEE					\$810.00

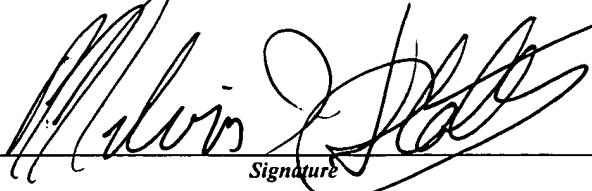
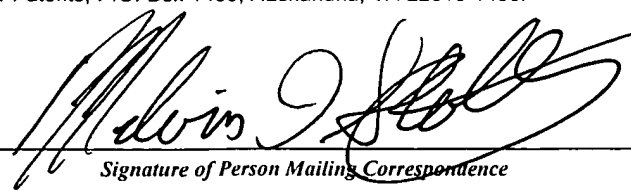
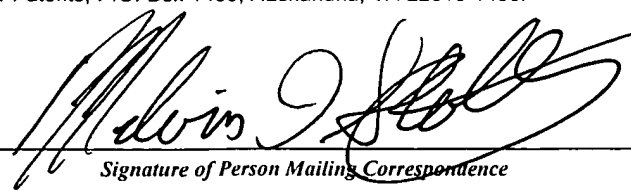
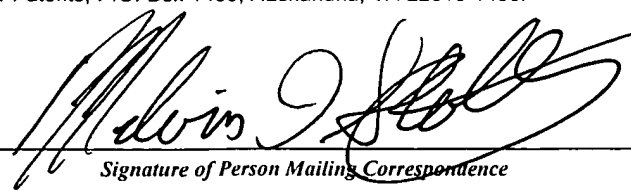
- ☒ A check in the amount of **\$810.00** to cover the filing fee is enclosed.
- ☒ The Director is hereby authorized to charge and credit Deposit Account No. **19-4512** as described below.
- ☐ Charge the amount of \_\_\_\_\_ as filing fee.
- ☒ Credit any overpayment.
- ☒ Charge any additional filing fees required under 37 C.F.R. 1.16 and 1.17.
- ☐ Charge the issue fee set in 37 C.F.R. 1.18 at the mailing of the Notice of Allowance pursuant to 37 C.F.R. 1.311(b).

  
Signature

Melvin I. Stoltz  
Registration No. 25,934  
51 Cherry Street  
Milford, CT 06460  
(203) 874-8183  
Attorney for Applicants

Dated: February 10, 2004

CC:

<b>AMENDMENT TRANSMITTAL LETTER (Large Entity)</b>				Docket No. <b>328-028</b>							
Applicant(s): <b>TAKANORI YAMAGISHI et al</b>											
Serial No.	Filing Date Herewith	Examiner		Group Art Unit							
Invention: <b>Resist Polymer and Method for Producing the Resist Polymer</b>											
<u><b>TO THE COMMISSIONER FOR PATENTS:</b></u>											
Transmitted herewith is an amendment in the above-identified application. The fee has been calculated and is transmitted as shown below.											
<b>CLAIMS AS AMENDED</b>											
	CLAIMS REMAINING AFTER AMENDMENT	HIGHEST # PREV. PAID FOR	NUMBER EXTRA CLAIMS PRESENT	RATE	ADDITIONAL FEE						
TOTAL CLAIMS	9 -	20 =	0 x	\$18.00	\$0.00						
INDEP. CLAIMS	2 -	3 =	0 x	\$86.00	\$0.00						
Multiple Dependent Claims (check if applicable) <input type="checkbox"/>					\$0.00						
TOTAL ADDITIONAL FEE FOR THIS AMENDMENT					\$0.00						
<input checked="" type="checkbox"/> No additional fee is required for amendment. <input type="checkbox"/> Please charge Deposit Account No. _____ in the amount of _____ <input type="checkbox"/> A check in the amount of _____ to cover the filing fee is enclosed. <input checked="" type="checkbox"/> The Director is hereby authorized to charge payment of the following fees associated with this communication or credit any overpayment to Deposit Account No. <b>19-4512</b> <input checked="" type="checkbox"/> Any additional filing fees required under 37 C.F.R. 1.16. <input type="checkbox"/> Any patent application processing fees under 37 CFR 1.17.											
 _____ Signature			Dated: <b>February 10, 2004</b>								
<b>Melvin I. Stoltz</b> Registration No. 25,934 51 Cherry Street Milford, CT 06460 (203) 874-8183 Attorney for Applicants			<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td colspan="2">         I certify that this document and fee is being deposited on          2/10/04 express mail with the U.S. Postal Service as first          class mail under 37C.F.R. 1.8 and is addressed to the          for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.       </td> </tr> <tr> <td colspan="2" style="text-align: center;">           _____          Signature of Person Mailing Correspondence       </td> </tr> <tr> <td colspan="2" style="text-align: center;"> <b>Melvin I. Stoltz</b>          _____          Typed or Printed Name of Person Mailing Correspondence       </td> </tr> </table>			I certify that this document and fee is being deposited on 2/10/04 express mail with the U.S. Postal Service as first class mail under 37C.F.R. 1.8 and is addressed to the for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.		 _____ Signature of Person Mailing Correspondence		<b>Melvin I. Stoltz</b> _____ Typed or Printed Name of Person Mailing Correspondence	
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 _____ Signature of Person Mailing Correspondence											
<b>Melvin I. Stoltz</b> _____ Typed or Printed Name of Person Mailing Correspondence											
CC:											

PATENT  
328-028

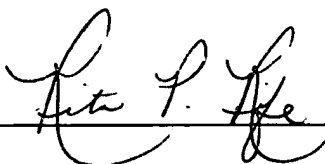
Attached for filing by Express Mail under Express Mail Label #ER571802729US today, February 10, 2004, is the United States Patent Application of Takanori Yamagishi et al relating to Resist Polymer and Method for Producing the Resist Polymer comprising Title Page, Specification having forty (40) pages including Abstract, nine (9) claims, an executed Declaration and Power of Attorney, a Preliminary Amendment, an Assignment from the inventors to Maruzen Petrochemical Co., Ltd., a certified copy of the Priority Document, Japanese Patent Application No. 042536/2003, filed February 20, 2003, and a check in the amount of \$810.00 filing fee and Assignment recording fee.

Express Mail Mailing Label #ER 571802729US

Date of Deposit: February 10, 2004

I hereby certify that the attached papers or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

By: \_\_\_\_\_

A handwritten signature in cursive script, appearing to read "Rita P. Lee", is written over a horizontal line.